

FORM PTO-1390U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  
(REV 5-93)TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

3477.92

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

09/856.324

INTERNATIONAL APPLICATION NO.

PCT/CA99/01106

INTERNATIONAL FILING DATE

19 November 1999

PRIORITY DATE CLAIMED

19 November 1998

TITLE OF INVENTION

COMPOSITION AND USE OF RAR ANTAGONISTS FOR PROMOTING CHONDROGENESIS

APPLICANT(S) FOR DO/EO/US

UNDERHILL, Tully Michael; WESTON, Andrea Dawn

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50) 09/856,324	INTERNATIONAL APPLICATION NO. PCT/CA99/01106	ATTORNEY'S DOCKET NUMBER 3477.92
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17. <input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Search Report has been prepared by the EPO or JPO . . . . . \$860.00  International preliminary examination fee paid to USPTO (37 CFR 1.482). . . . . \$690.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) . . . . . \$710.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . . . . \$1000.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4). . . . . \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =	CALCULATIONS	PTO USE ONLY																
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$																	
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate</th> </tr> <tr> <td>Total Claims</td> <td>29-20 =</td> <td>9</td> <td>X \$18.00</td> </tr> <tr> <td>Independent Claims</td> <td>13-3 =</td> <td>10</td> <td>X \$80.00</td> </tr> <tr> <td colspan="3">Multiple dependent claim(s) (if applicable)</td> <td>+ \$270.00</td> </tr> </table>	Claims	Number Filed	Number Extra	Rate	Total Claims	29-20 =	9	X \$18.00	Independent Claims	13-3 =	10	X \$80.00	Multiple dependent claim(s) (if applicable)			+ \$270.00	\$	
Claims	Number Filed	Number Extra	Rate															
Total Claims	29-20 =	9	X \$18.00															
Independent Claims	13-3 =	10	X \$80.00															
Multiple dependent claim(s) (if applicable)			+ \$270.00															
TOTAL OF ABOVE CALCULATIONS =																		
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).	\$																	
SUBTOTAL =	\$																	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	\$																	
TOTAL NATIONAL FEE =	\$																	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +	\$																	
TOTAL FEES ENCLOSED =	\$																	
	Amount to be refunded	\$																
	charged	\$																

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the  
 above fees. A duplicate copy of this sheet is enclosed.

c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment  
 to Deposit Account No. 50-0220.

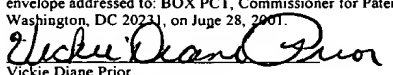
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b))  
 must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

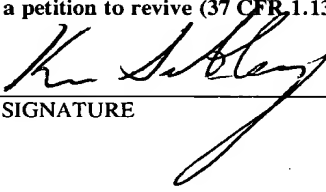
Kenneth D. Sibley  
 Myers Bigel Sibley & Sajovec  
 Post Office Box 37428  
 Raleigh, North Carolina 27627

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with  
 the United States Postal Service as first class mail in an  
 envelope addressed to: BOX PCT, Commissioner for Patents,  
 Washington, DC 20231, on June 28, 2001.



Vickie Diane Prior  
 Date of Signature: June 28, 2001



SIGNATURE

No. 31,665  
 REGISTRATION NUMBER